

AMENDMENTS TO THE CLAIMS:

This listing of claims will replace all prior versions, and listings, of claims in the application.

Listing Of Claims:

1. (Currently Amended) A computer implemented method for providing supervision over the activities of a number of representatives of a [business] financial services firm, the method comprising the steps of:

providing a data processing system including at least one database;

each of the number of representatives recording his/her activities in the at least one database by communicating with the data processing system via a user interface;

the data processing system storing a number of reports in the at least one database, each report defining a number of unacceptable activity parameters, regarding at least one rule or regulation of the financial service firm;

the data processing system running the number of reports against at least part of the at least one database, for each report the data processing system checking the recorded activities of each representative against the number of unacceptable activity parameters defined in the report; and

the data processing system creating a listing of alerts for only those activities in the at least one database that fall within the unacceptable activity parameters defined in the number of reports.

2. (Previously Presented) A method according to claim 1, wherein the number of unacceptable activity parameters can be changed by a user or representative charged with the supervision of the activities of the number of representatives.

3. (Previously Presented) A method according to claim 1, wherein the data processing system runs selected reports against the at least one database in a batch mode during off peak hours.

4. (Previously Presented) A method according to claim 1, wherein the data processing system runs selected reports against the at least one database at a preset interval.

5. (Previously Presented) A method according to claim 1, wherein the data processing system runs selected reports against the at least one database when a representative performs a predetermined function.

6. (Previously Presented) A method according to claim 1, further comprising the data processing system storing the listing of alerts in the at least one database.

7. (Previously Presented) A method according to claim 6, further comprising the steps of:

performing follow up activity for selected alerts; and

recording the follow up activity for the selected alerts in the at least one database.

8. (Previously Presented) A method according to claim 1, further comprising the data processing system assembling a listing of alerts that were generated during a predetermined previous time period.

9. (Previously Presented) A method according to claim 1, further comprising the data processing system identifying selected alerts using a search function.

10. (Previously Presented) A method according to claim 1, further comprising the step of providing compliance related materials to a user.

11. (Previously Presented) A method according to claim 10, further comprising the data processing system recording when the user views or accesses the compliance related materials in the at least one database.

12. (Previously Presented) A method according to claim 1, further comprising the step of accessing one or more entries in the at least one database that correspond to a selected alert.

13. (Cancelled)

14. (Currently Amended) A computer implemented method for creating a report used by a supervisor for supervising the activities of a number of representatives of a [business] financial services firm, the method comprising:

providing a data processing system including at least one database;

each of the number of representatives recording his/her activities in the at least one database by communicating with the data processing system with the aid of a user interface;

defining one or more unacceptable activity parameters for detecting the one or more unacceptable activities with the aid of a user interface that is in communication with the data processing system;

storing the defined one or more unacceptable activity parameters, regarding at least one rule or regulation of the financial service firm, in the at least one database;

the data processing system indicating which of the unacceptable activity parameters can be changed by the supervisor, resulting in one or more changeable unacceptable activity parameters; and

the data processing system generating a report, the report including the one or more unacceptable activity parameters including one or more of the changeable unacceptable activity parameters.

15. (Previously Presented) A method according to claim 14, wherein the data processing system runs the report against the at least one database and provides an alert for those activities in the at least one database that fall within the unacceptable activity parameters defined in the report.

16. (Previously Presented) A method according to claim 14, wherein the business is a financial services firm, and the representatives are brokers.

17. (Previously Presented) A method according to claim 16, wherein the at least one database includes account data for a number of customers of the financial services firm, the account data including the date of birth of the customers.

18. (Previously Presented) A method according to claim 17, wherein one of the activities recorded by each representative is each trade made by the representative on behalf of a customer.

19. (Previously Presented) A method according to claim 18, wherein one of the unacceptable activities is too much trading by older customers.

20. (Previously Presented) A method according to claim 18, wherein the unacceptable activity parameters include a date of birth and a number of trades.

21. (Previously Presented) A method according to claim 20, wherein both the date of birth parameter and the number of trades parameter can be changed by the supervisor.

22. (Previously Presented) A method according to claim 21, wherein the data processing system provides an alert for each customer that has a date of birth on or before the date of birth parameter and have a number of trades that exceeds the number of trades parameter.

23. (Previously Presented) A method according to claim 16, wherein one of the unacceptable activities is having a margin balance that is too large relative to a customer's equity value.

24. (Previously Presented) A method according to claim 16, wherein one of the unacceptable activities is having too many Annuity 1035 Exchange transactions over a specified period of time.

25. (Previously Presented) A method according to claim 16, wherein one of the unacceptable activities is having too much trade activity in discretionary accounts.

26. (Previously Presented) A method according to claim 16, wherein one of the unacceptable activities is having too many unacceptable activities in a predetermined time period.

27. (Currently Amended) A computer implemented method for providing a report used by a supervisor for supervising the activities of a number of representatives of a [business] financial services firm, the method comprising:

accessing a data processing system including at least one database;

each of the number of representatives recording his/her activities in the at least one database by communicating with the data processing system with the aid of a user interface;

identifying one or more acceptable activities, regarding at least one rule or regulation of the financial service firm;

defining one or more acceptable activity parameters for detecting the one or more acceptable activities with the aid of a user interface that is in communication with the data processing system;

storing the defined one or more acceptable activity parameters in the at least one database;

the data processing system marking those acceptable activity parameters that are changeable by the supervisor, resulting in one or more changeable acceptable activity parameters; and

the data processing system generating a the report, the report including the one or more acceptable activity parameters including one or more of the changeable acceptable activity parameters.

28. (Previously Presented) A method according to claim 26, wherein the data processing system provides an alert for those activities in the at least one database that fall outside of the acceptable activity parameters defined in the report.

29. (Previously Presented) A method according to claim 1, wherein the listing of alerts includes an alert that corresponds to an activity other than neglecting to enter one or more data fields in a customer account.